Vermont Department of Disabilities, Aging & Independent Living
Division of Disability & Aging Services
National Aging Program Information System Reporting Procedures
Issued December, 2007

The goal of the Department of Disabilities, Aging & Independent Living (DAIL) is to ensure the timely submission of complete and accurate data for Older Americans Act (OAA) services and funding as required by the Administration on Aging (AoA). NAPIS reporting should be based on consistent methods used by all Area Agencies on Aging (AAAs). This includes compliance with federal NAPIS requirements regarding client registration, and reviews to ensure that service unit categories are correctly associated with expenditure categories.

Each AAA is responsible for entering the required OAA data and information for their agency. Each AAA is also responsible for reviewing the data to ensure that data submitted to DAIL is complete, accurate, and conforms to the definitions and requirements established by the AoA. DAIL is responsible for reviewing each agency's data report and submitting the consolidated State NAPIS report to the AoA.

This document summarizes the procedures used to produce NAPIS reports in Vermont.

I. AAA NAPIS Reporting Procedures

A. Data for the NAPIS report will be obtained through the on-going entry of data into the SAMS database and, as necessary, from the appropriate AAA program and fiscal staff responsible for management and oversight of the various OAA programs and services. This includes the financial data that in prior years have been provided by DAIL for AAA verification and entry into NAPIS. AAAs shall provide the financial data in the NAPIS format to the DAIL Business Office (BO) for review prior to entering it into NAPIS. AAA's shall continue to submit monthly NSIP data (numbers of meals served) to DDAS nutrition program staff.

In order to allow time for each agency's internal review of NAPIS before it is submitted to DAIL, all demographic and service data for the preceding Federal Fiscal Year (FFY) must be entered into the individual agency's database **on or before November 15**.

B. Once the required data have been entered into SAMS, the AAA will conduct an internal review of the data, which shall include a comparison of the data reported in the prior FFY. For example, for FFY 2006 the AAA will compare FFY 2006 data to the data submitted for FFY 2005, including the core demographic, programmatic and financial data. AAA staff who are familiar with the history of the various programs and services being reported shall review data, including expenditures and service units. If any discrepancies are identified, the AAA will be responsible for investigating the cause of the discrepancy(ies) and making any necessary corrections. If the AAA manually enters any data into SAMS (including modifications to SAMS NAPIS raw data), these changes must be described on the AAA Reporting Verification Form, including the alternative data source or methodology.

C. The AAA Executive Director or designee shall review the data for the AAA before submission to DAIL, including a comparison of the data for the current year to the data for the previous year.

II. DAIL NAPIS Review and Reporting Procedures

A. Upon receipt of each AAA NAPIS Report, the DDAS Information and Data Unit (IDU) will coordinate with the DDAS Community Development Unit Director for the review and state approval of each report. The Community Development Unit Director is responsible for involving other DAIL staff as appropriate in this process.

B. DDAS Community Development Unit (CDU) Director will send a comprehensive summary of all discrepancies or questions to the Executive Director for clarification or resolution. Any changes to the AAA NAPIS Report will be made with the approval of the AAA Executive Director. A revised NAPIS report and AAA Reporting Verification Form shall then be resubmitted to DAIL. The Executive Director (no designee) will sign the attached **AAA Reporting Verification Form**. This form shall be submitted with the AAA NAPIS Report to the attention of:

> Director, Community Development Unit
> VT Department of Disabilities, Aging & Independent Living
> Weeks Building
> 103 South Main Street
> Waterbury, Vermont 05671-1601

C. Once all discrepancies/questions have been resolved for each AAA, the DDAS Information and Data Unit shall submit the State NAPIS Report to the AoA and work with AoA staff to achieve the final federal approval of the State Report. This shall represent the final NAPIS data for each AAA at both the state and federal levels.

III. Timeline for Submission and Review of NAPIS Reports (dates subject to revision, dependent on changes in AoA timelines to states)

When	Who	What
October 1	CDU	Remind AAA's of need to complete FFY data entry in SAMS by 11/15. Remind AAA's to insure that financial categories and service delivery categories are congruent (i.e. services are associated with expenses, expenses are associated with services.)
November 15	AAA's	AAA's complete data entry of demographic data and all OAA services in SAMS by 11/15. This includes service delivery (NFCSP, case management, nutrition, congregate meals, home delivered meals, etc.) and demographic data (ILA age, ADL's, etc.) AAA's run initial NAPIS reports and begin internal review of NAPIS data by relevant staff.
December 1	AAA's	AAA's provide preliminary financial data in NAPIS format to DAIL business office for review. AAA's insure that financial categories and service delivery categories are congruent (i.e. services are associated with expenses, expenses are associated with services.)
December 15	BO	Preliminary review of AAA financial data by DAIL Business Office completed. Specific issues resolved with AAA staff (executive director and financial officer).
December 20	AAA's	AAA data entry into NAPIS completed (including staffing data,

		financial data, corrected NSIP meal counts).
December 20	AAA's	Electronic NAPIS report exported and submitted to IDU as email attachment.
December 20	IDU	IDU prints copies of AAA NAPIS reports and distributes to CDU and BO.
December 21	IDU	DAIL IDU prepares spreadsheet for core AAA data on pages 22/23, comparing previous year with current year. Spreadsheet is posted in public folder for review/updating by all DAIL staff.
December 21	CDU, IDU, BO	Comprehensive review of service, client and financial data by DAIL begins. BO, IDU and CDU staff review specific areas of responsibility (NFCSP, dementia respite, case management, etc.)
January 10	CDU, IDU, BO	Comprehensive review of service, client and financial data by DAIL completed, including identification of missing data segments by time and program by comparing current year with previous year. Written comments for follow up sent to the CDU Director.
January 14		DDAS Community Development Unit Director sends summary of discrepancies to AAA Executive Director for resolution of issues by the AAA.
January 21	AAA's	Resolution of issues with individual AAA's, with NAPIS data corrected by AAA's as necessary. Deadline for submission of revised NAPIS reports by AAA's. Final electronic NAPIS report exported and submitted to IDU as email attachment.
January 21	IDU	IDU prints NAPIS reports (for each AAA and SUA) and forwards to CDU and BO. CDU maintains official SPR records.
January 28	CDU, BO, AAAs	CDU and BO staff complete final verification of all AAA NAPIS data, ensuring that AAA's have properly revised data, including NSIP data against AAA monthly reports. Staff coordinate with AAA's for any NAPIS resubmissions as needed. AAA Verification Report Form signed by Executive Director and mailed to CDU Director. CDU maintains signed verification forms.
January 30	IDU	IDU submits electronic NAPIS State Program Report to AoA. CDU maintains paper records.
February	CDU	AoA sends data submission confirmation to CDU; CDU copies to IDU and BO. CDU reviews data to ensure that it matches submission, including NSIP data, and respond as necessary; sends email to AoA liaison to ensure that certification of report is complete.
Spring	AoA	AoA sends data submission confirmation with 2-year comparison report to CDU.

IV. AAA validation of NAPIS SRT data

Background:

If there were no manual additions or corrections to the data, the data would be internally and logically consistent. However, because all the data needed for reporting is not maintained within SAMS, some data must

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be entered manually into the NAPIS reports. This means that AAA data management staff, program staff, and fiscal staff must review and verify relevant data elements.

Examples of data that is currently entered manually by Vermont AAAs:
- service expenditures and program income (page 22 section IIA)
- service units for congregate meals and for home delivered meals (page 22 section IIA)
- service units for information and assistance (page 22 section IIA)
- staffing profile (page 28 section III)

Each AAA must run NAPIS SRT reports from their own database, and verify their own data. Once verified, each AAA must create an export NAPIS file and send this file as an email attachment to DAIL. DAIL rolls up the individual AAA reports into a state report, reviews and verifies the data, and submits the report to AoA.

During the course of the year, AAAs can run the SAMS NAPIS consumer listing report. This shows clients by service with their NAPIS characteristics, providing an estimate of the numbers of clients by service. The report shows how many clients are missing required data elements. *Note: to support the AAA data verification, DAIL is working on a SAMS report that will show only missing data.*

Basic Data Integrity

1. Services must always be associated with expenditures, and expenditures must always be associated with services. Thus, AAAs must ensure that there is an expenditure in the AAA financial records for all service categories entered. For example, personal care services should not be reported if there is no personal care services expenditure in the financial records. Conversely, if personal care service expenditures are reported, service units must be reported. Within each AAA, business office staff and other management staff must communicate to ensure that there is an expense category for each service that is recorded in SAMS for NAPIS.
2. Ensure that knowledgeable staff (data management, program, and fiscal) review summary data.
3. Ensure that NAPIS expenditure data is consistent with financial audit information.
4. Use the most recent ILA version (2006 until the 2007 version is ready) so that ADLs and poverty can be recorded correctly for NAPIS. If an earlier version is used, ADL counts may be missing. Also be sure to record poverty, Nutrition Risk score, ethnicity and race in the ILA.
5. When the AAA enters NAPIS data from a source other than SAMS, the AAA must document the alternate data source and forward this to DAIL with the reporting verification form.
6. *Note that once AoA has certified the state report, no data can be corrected or changed.*

Verification Steps During the Year

Before each AAA runs its NAPIS report, the AAA must complete the following tasks:

Check	Tasks
	Run SAMS NAPIS consumer listing (in the SAMS Consumer reports) periodically (e.g. quarterly) during the year to identify those clients who are missing the data items of special interest to AoA: age, sex, ADLs, poverty, race, ethnicity, nutritional risk, and rurality. Missing data can be entered correctly into the individual ILA, or manually into the NAPIS characteristics of the client detail in SAMS.

	Be sure all NFSCP (Family Caregiver) services have a care recipient associated in the service delivery record.
	Be sure all grandparent caregivers in SAMS are associated with a care recipient under age 18 (or over the age of 18 and disabled). If this is missing, NAPIS will not count these caregivers as grandparents.
	Be sure you enter all group NFSCP services (e.g. training) under consumer groups, service delivery in SAMS.
	Be sure dementia respite data is entered in SAMS and a care recipient is associated in the service delivery record. Dementia Respite service will show as NFSCP caregiver services in NAPIS because we mapped this program to show as NFSCP services in NAPIS. The expenditures will show as 'other' and not as 'NFSCP', so we don't need special approval from AoA to provide these services.
	Be sure that all ILAs are entered in the most recent ILA versions for 2006 or 2007, and that all service data is entered in SAMS before running NAPIS report.

Verification Steps before running the NAPIS Report:

In preparing NAPIS reports, each AAA must complete the following tasks:

Check	Tasks
	Enter expenditures and program income received in NAPIS categories on page 22, Section IIA. The AAA business office must supply the expenditure figures, which must be entered following the template distributed by DAIL. (see attached expenditure template)
	If manual changes to client data are made on page 22 Section IIA, make appropriate changes to client characteristics in section IB, IC, and ID. This will reflect changes in client counts for the specific service(s), as required by the AoA data verification software. Make sure that the total number of registered clients in IB equals the total number of registered clients in IA.
	Enter service units for congregate meals and home delivered meals on page 22, Section IIA. The AAA Nutrition Director must supply these figures, and ensure that the figures match NSIP reports.
	Check that the number of providers and the number of AAA direct service provision are correct (page 22, Section IIA). Manually enter changes if needed. For example, case management providers for the AAA should be 1 (the AAA itself), not the number of individual case managers.
	Enter expenditures and program income received in NAPIS categories for NFSCP caregivers (using data from the AAA business office) in page 23 Section IIB.
	Check that the number of caregiver providers is correct and manually change if needed - page 23 Section IIB.
	Check that the number of caregiver clients is correct on page 23 Section IIB. Each AAA can run a SAMS caregiver clients report for verification.
	If manual changes are needed to caregiver client counts, be sure that section I.E is adjusted accordingly. I.e. if caregiver clients were added to page 23 Section IIB they must also be added to section I.E in the correct characteristic category- even if that is missing age, poverty, gender, etc.
	Enter expenditures and program income received in NAPIS categories for NFSCP grandparents (get this data from your business office) in page 23 Section IIC.
	Check that the number of caregiver grandparent clients is correct in page 23 Section IIC. Each AAA can run a SAMS caregiver grandparent clients report for verification.
	If manual changes are needed to the number of caregiver grandparent clients be sure that sections I.F is adjusted accordingly, i.e. if caregiver clients were added to page 23 Section IIC they must

	also be added to section I.F. Put them in the correct characteristic category even if that is missing age, poverty, gender, etc.
	Enter expenditures for elder abuse prevention in Section IID.
	Enter staffing profile data in Section IIIB. Be sure totals add correctly.
	Check the accuracy of provider characteristics (minority and rural) in Section IIIC.
	Enter the number of community focal points and senior centers in Section IIID.
	Enter accomplishments in Sections IVA and IVB.
	If data in SAMS was changed after the NAPIS report was run (such as associating care recipients with caregiver services, or entering caregiver consumer groups, or entering more ILAs), the report must be rerun to capture this information. If manual changes to the NAPIS report were not associated with data in SAMS (such as expenditures, providers etc) the NAPIS report does not need to be rerun.

Verification Steps after running the NAPIS Report

After running NAPIS reports, each AAA must complete the following tasks:

Check	Tasks
	Run the 'Verify Report' option in the NAPIS Reporter. This will identify inconsistencies (e.g. services without expenditures). Any necessary corrections must be made before submitting the report. The report must fully pass the verification tests before submission to DAIL.
	If any manual data corrections are made, repeat steps in the previous section to be sure the data is consistent.
	After verifying that the data is correct and consistent, use the export button in the NAPIS reporter to create a file to send to DAIL. Send the file to DAIL (Dick Laverty) as an attachment to an email. (The file contains no confidential client data, so this does not breach confidentiality.)

Examples of Issues that Required Resolution from FFY 2006 AAA NAPIS Reports:

1. p22 Section IIA, Expenditures for personal care with no clients and no units. It appears to be CART funding.
2. p22 Section IIA, transportation, legal assistance and nutrition ed show expenditures and no providers
3. p22 Section IIA, total # of AAA providers shows 0 should be 1
4. p22 Section IIA , Other services show title III expenditures but no total expenditures
5. p23 Section IIB, information services show clients and unit but no expenditures
6. p23 Section IIB, caregiver counseling/training shows expenditures but no clients or units
7. p23 Section IIB, supplemental services show clients and units no expenditures. This is dementia respite dollar awards recorded in SAMS but expenditures have not been entered.
8. p23 Section IIB access assistance show clients and units but no expenditures
9. p24 Section IIC Access assistance shows 1 caregiver with no expenditures
10. p28 Section III staffing profile. The total staff adds up to 190.25 but the total entered is 181.5. The sum of the number of staff should equal the total number of staff.

AAA Reporting Verification Form

The National Aging Program Information System (NAPIS) Report for _____
Agency on Aging for the period October 1, _____ through September 30, ___ is hereby submitted. The NAPIS report has been compiled in accordance with the definitions and reporting requirements established by the Administration on Aging. My agency has reviewed the report and I verify that it is accurate and complete.

All manual data entry in NAPIS reports and/or modifications to SAMS NAPIS electronic reports are described in attachments. These descriptions include the data element (page number, section, and part) and the alternate data source that was used.

_____ (signed) _____
Date   Area Agency Director